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National Aeronautics and  
Space Administration

Headquarters

Washington, DC 20546-0001

Patent Application



NPO- 21015-1PCU  
(NASA Docket No.)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, DC 20231

Sir:

Transmitted herewith for filing is the Patent Application of:

Applicant: Jay F. Whitacre, Ratnakumar V. Bugga, William C. West

Inventor(s): Jay F. Whitacre, Ratnakumar V. Bugga, William C. West

Entitled: STRUCTURE AND METHOD FOR MANUFACTURING THIN-FILM  
LITHIUM MICROBATTERIES

Enclosed are:

- ☒ Specification, claims, and declaration.
- ☒ 7 sheets of drawing. ☒ Power of Attorney
- ☒ An assignment of the invention to the National Aeronautics and Space Administration.
- ☐ A license of the invention to the National Aeronautics and Space Administration.
- ☐ An international application under the PCT. (See PCT/RO/101, XII checklist.)

The fee has been calculated as shown below:

FOR (1)	CLAIMS FILED NUMBER		RATE (4)	FEE (5)
	FILED (2)	EXTRA (3)		
TOTAL CLAIMS — — — —	20 20	=	x	=
INDEPENDENT CLAIMS — — —	3 3	=	x	=
BASIC FEE (Minimum amount required) — — — — —				\$710.00
TOTAL FILING FEE				\$710.00

Please charge our Deposit Account No. 14-0116 in the amount shown as the total filing fee. The Commissioner is hereby authorized to charge an additional fee which may be required to effect the filing of this application under 37 CFR 1.16, or credit any overpayment to Deposit Account No. 14-0116.

Feb. 8, 2001

(Date)

John H. Kusmiss

John H. Kusmiss  
(Attorney of Record) (Reg. No.) 32,149

NOTE: This form is to be used when filing a new or original application.

CERTIFICATE OF MAILING BY "EXPRESS MAIL"  
UNDER 37 CFR 1.10 - SEPARATE PAPER -

DOCKET NO.  
NPO-21015 -1-CU

In Re Application of:

Serial Number \_\_\_\_\_ Filed \_\_\_\_\_

For: STRUCTURE AND METHOD FOR MANUFACTURING THIN-FILM  
LITHIUM MICROBATTERIES

Group Art Unit \_\_\_\_\_ Examiner \_\_\_\_\_

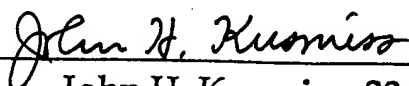
I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the Assistant Commissioner for Patents, Washington, D.C., 20231.

I hereby certify that the following were placed in the envelope by me and are enclosed herewith for filing of the Patent Application:

- ☒ Transmittal Letter (Original & 1 copy)
- ☐ Information Disclosure Statement ( \_\_\_\_\_ pages)  
with PTO Form 1449 ( \_\_\_\_\_ pages) and \_\_\_\_\_ Patents  
and \_\_\_\_\_ Articles (if applicable)
- ☒ Specification ( 20 pages including 4 pages of Claims),  
Abstract (1 page), and Drawings ( 7 Sheets, Figures 1A-10B )
- ☒ Declaration and Power of Attorney (Original)
- ☒ Assignment by Inventor to Caltech (Original) and  
Transmittal Letter (Original ~~& 1 copy~~)
- ☒ Assignment by Caltech to NASA (Original) and  
Transmittal Letter (Original ~~& 1 copy~~)
- ☒ Return Postcard (1)
- ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i)

"Express Mail" mailing label number: EK437904932US

Date of Deposit: February 8, 2001



John H. Kusmiss, 32,149

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Whitacre
	Title	Structure and Method for Manufacturing Thin-Film Lithium Microbatteries
	Atty Docket Number	NPO-21015-1-CU

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

February 8, 2001  
Date

John H. Kusmiss  
Signature

John H. Kusmiss  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**